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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 016295.1510

First Inventor Vasudevan, et.al.

Title Transaction Transfer Du..

Express Mail Label No. EV339226079US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 19]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Sheets 3]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Ck #87.1507: \$770.00.....  
Ck #87.1509: \$40.00.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 023640 OR ☐ Correspondence address below

Name Attn: Ronald L. Chichester

Address

City

State

Zip Code

Country

Telephone

713.229.1341

Fax

713.229.7741

Name (Print/Type) Ronald L. Chichester

Registration No. (Attorney/Agent) 36,765

Signature

*Ronald L. Chichester*

Date

December 8, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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16834 U.S. PTO

10/730349



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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application Number  
Filing Date December 8, 2003  
First Named Inventor Vasudevan, et.al.  
Examiner Name  
Art Unit  
Attorney Docket No. 016295.1510

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 02-0383  
Deposit Account Name Baker Botts L.L.P. 02364

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	2001	770	385	Utility filing fee	770.00
1002	2002	340	170	Design filing fee	
1003	2003	530	265	Plant filing fee	
1004	2004	770	385	Reissue filing fee	
1005	2005	160	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 770.00)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 11 -20\*\* = 0 X Fee from below 18 = 0  
Independent Claims -3\*\* = X  
Multiple Dependent X

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1202	2202	18	9	Claims in excess of 20	
1201	2201	86	43	Independent claims in excess of 3	
1203	2203	290	145	Multiple dependent claim, if not paid	
1204	2204	86	43	** Reissue independent claims over original patent	
1205	2205	18	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ 0.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type) RONALD L. CHICHESTER Registration No. 36,765 Telephone 713.229.1341  
Signature [Signature] Date December 8, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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CERTIFICATE OF MAILING VIA EXPRESS MAIL

PURSUANT TO 37 C.F.R. § 1.10, I HEREBY CERTIFY THAT I HAVE KNOWLEDGE AND A REASONABLE BASIS FOR BELIEF THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS EXPRESS MAIL "POST OFFICE TO ADDRESSEE," ON THE DATE INDICATED BELOW, AND IS ADDRESSED TO:

MAIL STOP PATENT APPLICATION  
HONORABLE COMMISSIONER FOR PATENTS  
P. O. BOX 1450  
ALEXANDRIA, VA 22313-1450



RONALD L. CHICHESTER

REG. NO. 36,765

12/08/2003

DATE OF MAILING

EV339226079US

EXPRESS MAIL LABEL

U.S.S.N.:	UNASSIGNED
FILING DATE:	12/08/2003
APPLICANT:	VASUDEVAN, ET AL.
GROUP ART UNIT:	UNASSIGNED
EXAMINER:	UNASSIGNED
ATTORNEY DOCKET NO.	016295.1510
TITLE:	"TRANSACTION TRANSFER DURING A FAILOVER OF A CLUSTER CONTROLLER OR SERVER"

INCLUDED IN THIS MAILING FOR THE ABOVE-REFERENCED PATENT APPLICATION ARE:

1. "NEW APPLICATION TRANSMITTAL" (3 PAGES);
2. UTILITY PATENT APPLICATION TRANSMITTAL (PTO/SB/05);
3. SPECIFICATION (19 PAGES, INCLUDING COVER PAGE);
4. FOUR (4) SHEETS OF FORMAL DRAWINGS;
5. FEE TRANSMITTAL FORM (PTO/SB/17), WITH DUPLICATE COPY FOR FEE PROCESSING;
6. CHECK #871507 IN THE AMOUNT OF \$770.00 FOR FILING FEE;
7. EXECUTED, COMBINED DECLARATION AND POWER OF ATTORNEY;
8. EXECUTED ASSIGNMENT, WITH ASSIGNMENT RECORDATION COVER PAGE, AND DUPLICATE COVER PAGE FOR FEE PROCESSING;
9. CHECK #871509 FOR THE ASSIGNMENT RECORDATION FEE OF \$40.00;
10. INFORMATION DISCLOSURE STATEMENT, PTO FORM 1449; AND
11. RETURN POSTCARD TO ACKNOWLEDGE RECEIPT OF ABOVE ITEMS.

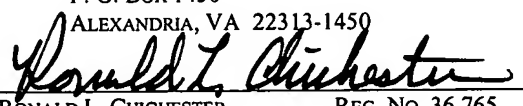
ATTORNEY CONTACT:

RONALD L. CHICHESTER  
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PTO CUSTOMER NUMBER: **023640**

Attorney Docket No.: 016295.1510  
Express Mail Label No.: EV339226079US  
Date of Deposit with Express Mail: 12/08/2003

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

CERTIFICATE OF MAILING via EXPRESS MAIL 37 C.F.R. §1.10	
PURSUANT TO 37 C.F.R. §1.10, I HEREBY CERTIFY THAT I HAVE INFORMATION AND A REASONABLE BASIS FOR BELIEF THAT THIS CORRESPONDENCE WILL BE DEPOSITED WITH THE U.S. POSTAL SERVICE AS "EXPRESS MAIL POST OFFICE TO ADDRESSEE" ON THE DATE INDICATED BELOW, AND IS ADDRESSED TO:	
MAIL STOP PATENT APPLICATION HONORABLE COMMISSIONER FOR PATENTS P. O. Box 1450 ALEXANDRIA, VA 22313-1450	
	
RONALD L. CHICHESTER	REG. NO. 36,765
DATE OF MAILING:	12/08/2003
EXPRESS MAIL LABEL:	EV339226079US

**MAIL STOP PATENT APPLICATION**

**Honorable Commissioner for Patents**

**P. O. Box 1450**

**Alexandria, VA 22313-1450**

**NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is a patent application of:

Inventors: Bharath Vasudevan  
201 E. 4th Street #253  
Austin, TX 78701

Nam Nguyen  
3908 Blue Monster Cove  
Round Rock, Texas 78664

For: "Transaction Transfer During a Failover of a Cluster Controller or Server"

This new application is an original (nonprovisional) patent application.

Enclosed are:

- (a) One (1) Cover Page
- (b) Eighteen (18) total pages of Specification (pages 2-19)

- (including Background, Summary, and Description of the Drawings);*  
(c) Three (3) pages of Claims (pages 16-18);  
(d) One (1) page Abstract of the Disclosure (page 19);  
(e) Four (4) sheets of formal drawings.

This application is submitted with an executed combined Declaration/Power of Attorney.

This application is submitted with an executed Assignment and Recordation cover sheet, with duplicate copy of the cover sheet for fee processing.

This application is submitted with a Fee Transmittal Form (PTO/SB/17), with duplicate copy for fee processing.

This application is submitted with an Information Disclosure Statement.

CLAIMS FOR FEE CALCULATION					
	Actual	Number	Number Extra	Rate	Basic Fee \$770.00
Total Claims:	11	- 20 =	0	x \$18. =	\$0.00
Independent Claims:	3	- 3 =	0	x \$0.00 =	\$0.00
Total Filing Fee =					\$770.00

Included is check #871507 in the amount of \$770.00 for the filing fee and additional total and independent claims.

Also included is check #871509 in the amount of \$40.00 for the Assignment Recordation Fee.

A return receipt postcard is also included to acknowledge receipt of the above-named items.

In the event of underpayment or overpayment for the filing of this application, the Commissioner is hereby authorized to debit additional fees from, or to credit any overpayments to, Baker Botts L.L.P. Deposit Account No. 02-0383, Order No. 016295.1457.

Please direct all correspondence to:

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Telephone: 713.229.1707  
Facsimile: 713.229.2707  
EMail: Roger.Fulghum@bakerbotts.com

Respectfully submitted,

BAKER BOTTS L.L.P. (023640)

By: 

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ATTORNEY FOR APPLICANTS

DATE: December 8, 2003

Attorney Docket No.: 016295.1510